

Procedure No. 1130.01: Outside Research Requests

Reference: Policy 1130

Effective Date: 02/07/05

Prior Issue: 06/01/97

Purpose:

Arizona Department of Juvenile Corrections (ADJC) establishes rules for the processing of requests from outside the agency to conduct research on the juveniles or employees within our jurisdiction. This procedure covers research requests submitted by individuals who are not ADJC employees, who are not under contract with ADJC to conduct research projects, or who are ADJC employees but who are performing the research for non-department reasons.

Rules:

1. The **PRINCIPAL INVESTIGATOR (PI)** shall submit a completed research proposal packet to the Research and Development (R/D) Division. The completed proposal packet shall include the following items:
 - a. Statement of purpose of the research including the hypothesis to be examined;
 - b. Statement of the methodology to be utilized;
 - c. Statement describing what specific assistance or access is being requested from ADJC;
 - d. Statement detailing project timeframes;
 - e. Number and type of research subjects desired;
 - f. Name, credentials, and contact information for all persons working on the project;
 - g. Statement of benefits of the proposed research to ADJC or to the juvenile justice system;
 - h. A literature review that supports 1a, 1b, 1e, and 1g; and
 - i. Signed copy of each Form 1130.01a – c.
2. **ADJC ACCOUNTING ADMINISTRATOR OR DESIGNEE** shall disperse any juvenile or employee stipends associated with any outside research project in accordance with ADJC financial policies and procedures.
3. **R/D** shall review the completed proposal packet to determine compliance with requirements stated above.
 - a. If the outside request (OR) is not in compliance, **R/D** shall return the OR to the PI with an explanation of the noncompliant items;
 - i. The **PI** may resubmit the OR after addressing all the items of noncompliance;
 - ii. **R/D** shall continue to review and return the OR to the PI until all items of noncompliance have been properly addressed.
 - b. **R/D** may invite the PI to make a formal presentation and answer questions regarding the project.
4. Following R/D approval of the OR, **R/D** shall forward the OR to the **DEPUTY DIRECTOR** who shall designate the appropriate Assistant Director and Superintendent(s) or Administrator(s) to be involved in the research project.
5. The appropriate **SUPERINTENDENTS(S) OR ADMINISTRATOR(S)** shall:
 - a. Consider the logistical details associated with their units' participation in the research endeavor;
 - b. Consider the feasibility of the proposed project;
 - c. Consider the benefits of the proposed project to ADJC;
 - d. Send their written recommendation(s) to their Assistant Director and R/D.
6. The **ASSISTANT DIRECTOR** shall:
 - a. Consider the logistical details associated with participation in the research endeavor;
 - b. Consider the feasibility of the proposed project;

Procedure No 1130.01: Outside Research Requests

Page 2 of 3

- c. Consider the benefits of the proposed project to ADJC;
 - d. Send his/her written recommendation(s) to R/D.
7. **R/D** shall return infeasible proposals to the **PI** and propose methodologies that might make the OR feasible. Rules 4, 5 and 6 shall be repeated until a feasible proposal is developed.
8. The **R/D ADMINISTRATOR** shall decide if an Institutional Review Board (IRB) is required.
9. If an IRB is required, the **PI** shall provide evidence of IRB approval through the college, university, or other research organization with which the **PI** is affiliated:
 - a. In order to qualify, the IRB must be registered with the Office for Human Research Protections, U.S. Department of Health and Human Services.
10. If an IRB is required and the **PI** is not affiliated with an organization governed by a qualifying IRB, **R/D** shall :
 - a. Seek to identify an existing IRB that is willing to review the research proposal;
 - b. Convene an ADJC IRB if no existing IRB is available.
11. Membership of the ADJC **IRB** shall consist of three people:
 - a. One member from R/D to serve as the IRB chairperson;
 - b. One member from ADJC clinical staff who is a qualified mental health professional;
 - c. One outside researcher, clinician, or juvenile justice specialist who is not employed by ADJC.
12. The **PI** shall submit a statement on the following topics to the ADJC IRB, and the ADJC **IRB** shall determine that all of the following requirements are satisfied:
 - a. Risks to research participants are minimized;
 - b. Risks to research participants are reasonable in relation to anticipated benefits;
 - c. Selection of research participants is equitable;
 - d. Informed consent is sought from each prospective research participant or the research participant's legally authorized representative;
 - e. Informed consent is properly documented;
 - f. When appropriate, the research plan makes adequate provision for monitoring the data collected to ensure the safety of research participants;
 - g. When appropriate, there are adequate provisions to protect the privacy of research participants and to maintain the confidentiality of data;
 - h. Additional safeguards have been included in the study to protect the rights and welfare of ADJC juveniles as research participants.
13. The ADJC **IRB** shall either approve or disapprove the OR.
 - a. If disapproved, **R/D** shall return the OR to **PI** to address concerns identified by the IRB.
14. Upon IRB approval, **R/D** shall work with the **PI** to plan project completion.
15. Upon completion of the OR plan **R/D** shall recommend approval/disapproval of the OR to the Deputy Director.
16. The **Deputy Director** shall decide to approve, disapprove, or return the OR to R/D for clarification or further information.
17. The **Deputy Director** shall provide the **PI** with a letter of approval or disapproval of the OR; if OR is approved, the letter shall designate the appropriate ADJC contacts for the research project.

Page 3 of 3

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